

05-14-01

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UTILITY CONTINUATION-IN-PART PATENT APPLICATION TRANSMITTAL

(Only for Continuation-in-Part applications under 37 CFR 1.53(b))

Attorney Docket No.: 7103-1-CIP

Inventors: David W. LaFore, Kyle L. Brennan

Express Mail Label No.: EL686043228US

Title: "DATA PROCESSING SYSTEM AND METHOD FOR MANAGING BROKER TRANSACTION INFORMATION"

Assistant Commissioner for Patents

Box Patent Application

Washington, DC 20231

This is a Continuation-in-Part application of co-pending prior application No. 09/497,272 filed February 3, 2000. The entire disclosure of the prior application is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference.

Enclosed for filing with the above-identified utility patent application, please find the following:

1. ☒ Applicant claims small entity status. See 37 CFR 1.27.
2. ☒ Specification (Total Pages of Text, including Abstract and Claims: 52)
3. ☒ Drawing(s) (35 USC 113) (Total Sheets: 53) ☒ FORMAL ☐ INFORMAL
4. ☒ Return Postcard (MPEP 503) (should be specifically itemized)
5. ☒ A check in the amount of \$498.00 is enclosed.

FEE CALCULATION:

	(COL. 1) NO. FILED			(COL. 2*) NO. EXTRA	SMALL ENTITY			LARGE ENTITY	
					RATE	FEE		RATE	FEE
BASIC FEE:						\$355.00	OR		\$710.00
TOTAL CLAIMS:	27	-	20	7	7 X \$9 =	\$63.00	OR	X \$18 =	
INDEP. CLAIMS:	5	-	3	2	2 X \$40 =	\$80.00	OR	X \$80 =	\$160.00
MULTIPLE DEPENDENT CLAIMS					+ \$135 =	\$0.00	OR	+\$270 =	
*IF THE DIFFERENCE IN COL. 2 IS LESS THAN ZERO, ENTER "0" IN COL. 2.					TOTAL:	\$498.00			

OTHER INFORMATION:

1. ☒ The Commissioner is hereby authorized to debit any underpayments or credit any overpayment to Deposit Account No. 19-1970.
2. ☒ The Commissioner is hereby authorized to charge all required fees for extensions of time under §1.17 to Deposit Account No. 19-1970.
3. ☒ The Small Entity Statement was filed in prior application. Status is still proper and desired.
4. Correspondence Address:

Brent P. Johnson
 SHERIDAN ROSS P.C.
 1560 Broadway, Suite 1200
 Denver, Colorado 80202-5141
 Telephone: (303) 863-9700
 Facsimile: (303) 863-0223

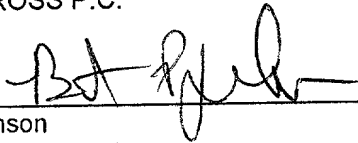
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Respectfully Submitted,

SHERIDAN ROSS P.C.



Brent P. Johnson
Registration No. 38,031

Date: 5/11/01